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\*Admitted only in Maryland  
\*Admitted only in Virginia  
\*Admitted only in Texas  
\*Practice Limited to  
Federal Agencies

July 31, 2002

The Honorable Director  
of Patents and Trademarks  
Washington, D.C. 20231

**WRITER'S DIRECT NUMBER:**  
(202) 371-2673  
**INTERNET ADDRESS:**  
JCOVERT@SKGF.COM

**Box Assignment**

Re: U.S. Utility Patent Application  
Appl. No. 09/814,123; Filed: March 22, 2001  
For: **Aryl Substituted Pyrazoles, Triazoles and Tetrazoles, and the Use  
Thereof**  
Inventors: Hogenkamp *et al.*  
Our Ref: 1861.1270001/JMC/THN

Sir:

Applicants submit the following documents for appropriate action by the U.S. Patent and Trademark Office:

1. Two (2) Recordation Form Cover Sheets (Form PTO-1595);
2. Certificate of Amendment of COCENSYS, INC., official recordation and return of which are respectfully requested;
3. Assignment to EURO-CELTIQUE S.A., official recordation and return of which are respectfully requested;
4. Fee Transmittal Form (PTO/SB/17);
5. One (1) return postcard; and
6. Our Check No. 36021 for \$80.00 to cover recordation fees (37 C.F.R. § 1.21).

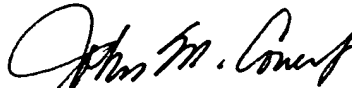
The Honorable Director  
of Patents and Trademarks  
July 31, 2002  
Page 2

It is respectfully requested that the attached postcard be stamped with the date of filing of these documents, and that it be returned to our courier. The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036.

If extensions of time under 37 C.F.R. § 1.136 other than those otherwise provided for herewith are required to prevent abandonment of the present patent application, then such extensions of time are hereby petitioned, and any fees therefor are hereby authorized to be charged to our Deposit Account No. 19-0036.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



John M. Covert  
Attorney for Applicants  
Registration No. 38,759

Enclosures

SKGF\_DC1:40235.1

RECORDATION FORM COVER SHEET  
PATENTS ONLY

U.S. Department of Commerce  
Patent and Trademark Office

To the Honorable Commissioner of Patents and Trademarks. Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

COCENSYS, INC.

Additional name(s) of conveying party(ies) attached? ☐ yes ☒ no

3. Nature of Conveyance:

☐ Assignment ☐ Merger  
☐ Security Agreement ☒ Change of Name  
☐ Other \_\_\_\_\_

Execution Date: January 17, 2001

2. Name and address of receiving party(ies):

Name: PURDUE PHARMA LTD.

Street Address: 213 Technology Drive

City: Irvine State: CA Zip Code: 92618

Country: United States of America

Additional name(s) & address(es) attached? ☐ yes ☒ no

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is \_\_\_\_\_

A. Patent Application No(s).

09/814,123

B. Patent No(s).

Additional numbers attached? ☐ yes ☒ no

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Sterne, Kessler, Goldstein & Fox P.L.L.C.

Internal Address: c/o John M. Covert

Street Address: 1100 New York Ave., N.W.  
Suite 600

City: Washington State: D.C. Zip Code: 20005-3934

6. Total number of applications and patents involved: 1

7. Total fee (37 C.F.R. § 3.41).....\$ 40.00

☒ Enclosed

☐ Authorized to be charged to Deposit Account

8. Deposit Account Number:

19-0036

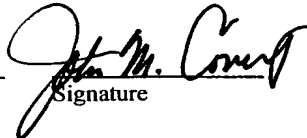
(Attach duplicate copy of this page if paying by deposit account)

DO NOT USE THIS SPACE

9. Statement and signature.

*To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.*

John M. Covert  
Name of Person Signing  
Registration No. 38,759

  
Signature

July 31, 2002  
Date

Total number of pages including cover sheet, attachments and document 4

Mail documents to be recorded with required cover sheet information to:  
Commissioner of Patents and Trademarks, Box Assignments  
Washington, D.C. 20231

RECORDATION FORM COVER SHEET  
PATENTS ONLY

To the Honorable Commissioner of Patents and Trademarks. Please record the attached original documents or copy thereof.

## 1. Name of conveying party(ies):

PURDUE PHARMA LTD.

Additional name(s) of conveying party(ies) attached? ☐ yes ☒ no

## 3. Nature of Conveyance:

- ☒ Assignment                      ☐ Merger  
☐ Security Agreement           ☐ Change of Name  
☐ Other \_\_\_\_\_

Execution Date: July 24, 2002

## 2. Name and address of receiving party(ies):

Name: EURO-CELTIQUE S.A.

Street Address: 122 Boulevard de la Petrusse  
L-2330 Luxembourg

Country: Luxembourg

Additional name(s) & address(es) attached? ☐ yes ☒ no

## 4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is \_\_\_\_\_

A. Patent Application No(s).

09/814,123

B. Patent No(s).

Additional numbers attached? ☐ yes ☒ no

## 5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Sterne, Kessler, Goldstein &amp; Fox P.L.L.C.

Internal Address: c/o John M. Covert

Street Address: 1100 New York Ave., N.W.  
Suite 600

City: Washington State: D.C. Zip Code: 20005-3934

6. Total number of applications and patents involved: 17. Total fee (37 C.F.R. § 3.41).....\$ 40.00☒ Enclosed☐ Authorized to be charged to Deposit Account

## 8. Deposit Account Number:

19-0036

(Attach duplicate copy of this page if paying by deposit account)

DO NOT USE THIS SPACE

## 9. Statement and signature.

*To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.*

John M. Covert

Name of Person Signing  
Registration No. 38,759

Signature

Date

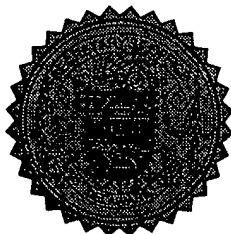
Total number of pages including cover sheet, attachments and document 4Mail documents to be recorded with required cover sheet information to:  
Commissioner of Patents and Trademarks, Box Assignments  
Washington, D.C. 20231

# Delaware

PAGE 1

*The First State*

I, HARRIET SMITH WINDSOR, SECRETARY OF STATE OF THE STATE OF DELAWARE, DO HEREBY CERTIFY THE ATTACHED IS A TRUE AND CORRECT COPY OF THE CERTIFICATE OF AMENDMENT OF "COCENSYS, INC.", CHANGING ITS NAME FROM "COCENSYS, INC." TO "PURDUE PHARMA LTD.", FILED IN THIS OFFICE ON THE SEVENTEENTH DAY OF JANUARY, A.D. 2001, AT 9 O'CLOCK A.M.



2318043 8100

010634841

*Harriet Smith Windsor*

Harriet Smith Windsor, Secretary of State

AUTHENTICATION: 1532396

DATE: 12-29-01

**CERTIFICATE OF AMENDMENT  
OF COCENSYS, INC.**

---

**Pursuant to Section 242 of  
the General Corporation Law of  
the State of Delaware**

---

CoCensys, Inc., a corporation organized and existing under the General Corporation Law of the State of Delaware (the "Corporation"), does hereby certify as follows:

FIRST: Resolutions setting forth a proposed amendment to the Certificate of Incorporation of the Corporation, declaring said amendment to be advisable and directing that said amendment be considered by the stockholders of the Corporation entitled to vote thereon were duly adopted by the Unanimous Written Consent of the Board of Directors of the Corporation dated as of December 7, 2000.

SECOND: Thereafter, said amendment was approved in accordance with Section 228 of the General Corporation Law of the State of Delaware by written consent dated as of December 7, 2000 of the sole stockholder of the Corporation entitled to vote thereon.

THIRD: Said amendment would amend the Certificate of Incorporation of the Corporation by deleting Article FIRST and substituting in lieu thereof the following new Article FIRST:

"FIRST: The name of the Corporation is Purdue Pharma Ltd. (the 'Corporation')."

FOURTH: Said amendment was duly adopted in accordance with the provisions of Section 242 of the General Corporation Law of the State of Delaware.

IN WITNESS WHEREOF, the Corporation has caused this certificate to be signed by its Vice President and attested by its Assistant Secretary as of this 15th day of January, 2001.

COCENSYS, INC.

By Howard R. Udell  
Howard R. Udell  
Vice President

Attest:

By Stuart D. Baker  
Stuart D. Baker  
Assistant Secretary

## ASSIGNMENT

In consideration of the sum of One Dollar (\$1.00) or equivalent and other good and valuable consideration, receipt of which is hereby acknowledged, **PURDUE PHARMA LTD.**, a corporation organized and existing under the laws of **Delaware, United States of America** (the "Assignor"), being the sole proprietor of the Patents and Patent Applications described in Schedule A, hereby sells and assigns to **EURO-CELTIQUE S.A.**, a corporation formed under the laws of **Luxembourg**, having an office and place of business at **122 Boulevard de la Petrusse, L-2330 Luxembourg** (the "Assignee"), the entire right, title and interest for the United States of America (as defined in 35 U.S.C. § 100), and throughout the world, including the right to sue for past infringement and to collect for all past, present and future damages,

(a) in each of the Patents and Patent Applications that are described in detail in Schedule A, annexed hereto and made a part hereof, and

(b) in any and all applications that claim the benefit of the Patents and Patent Applications described in detail in Schedule A, including continuing applications, reissues, extensions, renewals, and reexaminations of such Patents and Patent Applications, to the full extent of the term or terms for which Letters Patents issue, and

(c) in any and all inventions described in each of the Patents and Patent Applications that are described in detail on Schedule A, and in all forms of intellectual and industrial property protection derivable therefrom, and that are derivable from any and all continuing applications, reissues, extensions, renewals and reexaminations of such Patents and Patent Applications, including, without limitation, patents, applications, utility models, inventor's certificates, and designs together with the right to file applications therefor; and including the right to claim the same priority rights from any previously filed applications under the International Agreement for the Protection of Industrial Property, or any other international agreement, or the domestic laws of the country in which any such application is filed, as may be applicable;

all such rights, title and interest to be held and enjoyed by the above-named Assignee, its successors, legal representatives and assigns to the same extent as all such rights, title and interest would have been held and enjoyed by the Assignor had this assignment and sale not been made.

The Assignor agrees to execute all papers necessary in connection with the applications and Letters Patents as above, and any continuing (continuation, divisional, or continuation-in-part), reissue, reexamination or corresponding applications thereof and also to execute separate assignments in connection with such applications as the Assignee may deem necessary or expedient.

The Assignor agrees to execute all papers necessary in connection with any interference or patent enforcement action (judicial or otherwise) related to the applications or Letters Patents or any continuing (continuation, divisional, or continuation-in-part), reissue or reexamination application thereof and to cooperate with the Assignee at Assignee's expense in every reasonable way possible in obtaining evidence and going forward with such interference or patent enforcement act.

The Assignor agrees to perform all affirmative acts at Assignee's request and expense that may be necessary to obtain or ensure a grant of a valid patent to the Assignee.

The Assignor hereby represents that Assignor has full right and authority to convey the entire interest herein assigned, and that Assignor has not executed, and will not execute, any agreement in conflict therewith.

The Assignor hereby grants Robert Greene Sterne, Esquire, Registration No. 28,912; Edward J. Kessler, Esquire, Registration No. 25,688; Jorge A. Goldstein, Esquire, Registration No. 29,021; David K. S. Cornwell, Esquire, Registration No. 31,944; Robert W. Esmond, Esquire, Registration No. 32,893; Tracy-Gene G. Durkin, Esquire, Registration No. 32,831; Michele A. Cimbala, Esquire, Registration No. 33,851; Michael B. Ray, Esquire, Registration No. 33,997; Robert E. Sokohl, Esquire, Registration No. 36,013; Eric K. Steffe, Esquire, Registration No. 36,688;



Michael Q. Lee, Esquire, Registration No. 35,239; Steven R. Ludwig, Esquire, Registration No. 36,203; John M. Covert, Esquire, Registration No. 38,759; and Linda E. Alcorn, Esquire, Registration No. 39,588; all of STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C., 1100 New York Avenue, N.W., Suite 600, Washington, D.C. 20005-3934, and Philip C. Strassburger, Esquire, Registration No. 34,258, Purdue Pharma L.P., One Stamford Forum, Stamford, CT 06901-3431, power to insert in this assignment, including the attached Schedule A, any further information regarding the patents and patent applications so identified in such Schedule A that may be necessary or desirable in order to comply with the rules of the United States Patent and Trademark Office for recordation of this document.

SIGNED on behalf of the said ASSIGNOR, **PURDUE PHARMA LTD.**

By: Howard R. Udell

Howard R. Udell

Title: Vice President and Assistant Secretary

Date: July 24, 2002

Witnessed before me:

Signature: Angela Ottimo Signature: Roberta Seitel

Print Name: Angela Ottimo Print Name: Roberta Seitel

Address: Stamford, CT Address: Stamford, CT

SIGNED on behalf of the said ASSIGNEE, **EURO-CELTIQUE S.A.**

By: Douglas Docherty

Douglas Docherty

Title: Director

Date: JULY 25, 2002

Witnessed before me:

Signature: Sophia R. de Sa Signature: Sharon Young

Print Name: SOPHIA RAPOSO DE SA Print Name: SHARON YOUNG

Address: Hamilton, Bermuda Address: Hamilton, Bermuda

**SCHEDULE A**

**UNITED STATES PATENTS, UNITED STATES PATENT APPLICATIONS AND  
INTERNATIONAL APPLICATIONS THAT DESIGNATE THE UNITED STATES**

	<u>Application No.</u>	<u>Filing Date</u>	<u>Publication No.</u>	<u>Issue Date</u>
1.	U.S. 09/814,123	March 22, 2001	US 2002/0006947 A1	
2.	PCT/US01/08972	March 22, 2001	WO 01/72714	

SKGF\_DC1:35200.1

# FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

## Complete if Known

Application Number	09/814,123
Filing Date	March 22, 2001
First Named Inventor	Derk J. Hogenkamp
Examiner Name	Shameem, G.
Group Art Unit	1626
Attorney Docket No.	1861.1270001/JMC/THN

TOTAL AMOUNT OF PAYMENT (\$)**80.00**

### METHOD OF PAYMENT (check one)

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayment to:

Deposit Account Number **19-0036**  
Deposit Account Name **Sterne, Kessler, Goldstein & Fox P.L.L.C.**

- ☐ Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17

- ☐ Applicant claims small entity status See 37 CFR 1.27

2. ☒ Payment Enclosed:

☒ Check ☐ Credit card ☐ Money Order ☒ Other\*  
\*Charge any deficiencies or credit any overpayments in the fees or fee calculations of Parts 1, 2 and 3 below to Deposit Account No. 19-0036.

### FEE CALCULATION

#### 1. BASIC FILING FEE

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	740	201	370	Utility filing fee	
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	
SUBTOTAL (1) (\$)					0.00

#### 2. EXTRA CLAIM FEES

Extra Fee from below Fee Paid  
Total Claims \_\_\_\_\_ - 20\*\* = \_\_\_\_\_ X \_\_\_\_\_ = \_\_\_\_\_  
Indep. Claims \_\_\_\_\_ - 3\*\* = \_\_\_\_\_ X \_\_\_\_\_ = \_\_\_\_\_  
Multiple Dependent \_\_\_\_\_ = \_\_\_\_\_

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	84	202	42	Independent claims in excess of 3
104	280	204	140	Multiple dependent claim
108	84	209	42	**Reissue independent claims over original patent
110	18	210	9	**Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$)**0.00**

\*\* or number previously paid, if greater; For Reissues, see above

### FEE CALCULATION (continued)

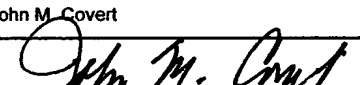
#### 3. ADDITIONAL FEES

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	130	123	130	Petitions related to provisional applications	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	481	40	Recording each patent assignment per property (times number of properties)	80.00
146	740	246	370	Filing a submission after final rejection (37 CFR 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR 1.129(b))	
179	740	279	370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	
Other fee (specify):					
Other fee (specify):					
*Reduced by Basic Filing Fee Paid					
SUBTOTAL (3) (\$)					80.00

### SUBMITTED BY

### Complete (if applicable)

Name (Print/Type)	John M. Covert	Registration No. (Attorney/Agent)	38,759	Telephone	202-371-2600
Signature		Date	July 31, 2002		

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

STERNE, KESSLER, GOLDSTEIN & FOX PLLC  
 ATTORNEYS AT LAW  
 GOVERNMENT FEES ACCT.  
 1100 NEW YORK AVE. NW, SUITE 600  
 WASHINGTON, D.C. 20005

REMITTANCE ADVICE									

36021

15-122  
540

PAY

THE SUM OF 80 DOLLARS

DOLLARS

DATE	TO THE ORDER OF
7/26/02	COMM. OF PATENTS & TRADEMARKS
	1861270001 AR

CHECK AMOUNT
80.00

107135C-02-02  
 Stamp features included on back.

HOGENKAMP ET AL  
 Appl. No. 09/814,123

FIRST UNION BANK • WASHINGTON, D.C. 20005

⑆036021⑆ ⑆054001220⑆ 2076500307989⑆

*John M. Cowd*

**Applicants:** Hogenkamp *et al.*

**Application No.:** 09/814,123

**Filed:** March 22, 2001

**For:** Aryl Substituted Pyrazoles, Triazoles and Tetrazoles, and the Use Thereof

**Due Date:** None

**Art Unit:** 1626

**Examiner:** Shameem, G.

**Docket:** 1861.1270001

**Atty:** JMC/THN

When receipt stamp is placed hereon, the USPTO acknowledges receipt of the following documents:

1. SKGF Cover Letter;
2. Two (2) Recordation Form Cover Sheets (Form PTO-1595);
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**Applicants:** Hogenkamp *et al.*

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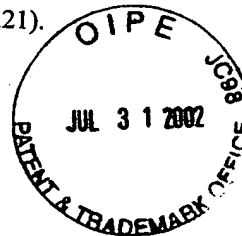
**Docket:** 1861.1270001

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5. Fee Transmittal Form (PTO/SB/17);
6. One (1) return postcard; and
7. Our Check No. 36021 for \$80.00 to cover recordation fees (37 C.F.R. § 1.21).

*Attn: Box Assignment*



July 31, 2002

SKGF\_DC1:40236.1

Please Date Stamp And Return To Our Courier